



DOCKET NO.: MAX-0010

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

Andrew W. Batchelor, et al.

Application No.: 10/637,208

Filing Date: August 8, 2003

For: HEAT EXCHANGER FOR AN ELECTRONIC HEAT PUMP

Confirmation No.: Not yet known

Group Art Unit: Not yet known

Examiner: Not yet known

DATE OF DEPOSIT: 8/29/03

I HEREBY CERTIFY THAT THIS PAPER IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE AS FIRST CLASS MAIL, POSTAGE PREPAID, ON THE DATE INDICATED ABOVE AND IS ADDRESSED TO THE UNITED STATES PATENT AND TRADEMARK OFFICE, P.O. BOX 1450, ALEXANDRIA, VA 22313-1450.

Michael K. Jones

TYPED NAME: Michael K. Jones
REGISTRATION NO.: 41,100

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

INFORMATION DISCLOSURE STATEMENT

Pursuant to 37 CFR § 1.56 and in accordance with 37 CFR §§ 1.97-1.98, information relating to the above-identified application is hereby disclosed. Inclusion of information in this statement is not to be construed as an admission that this information is material as that term is defined in 37 CFR § 1.56(b).

- ☒ In accordance with § 1.97(b), since this Information Disclosure Statement is being filed either within three months of the filing date of the above-identified application, within three months of the date of entry into the national stage of the above identified application as set forth in § 1.491, before the mailing date

of a first Office Action on the merits of the above-identified application, or before the mailing date of a first Office Action after the filing of request for continued examination under § 1.114, no additional fee is required.

- ☐ In accordance with § 1.129(a), this Information Disclosure Statement is being filed in connection with ☐ the first or ☐ second After Final Submission, therefore:

☐ Certification in Accordance with § 1.97(e) is attached; or

☐ The fee of \$180.00 as set forth in § 1.17(p) is attached.

- ☐ In accordance with § 1.97(c), this Information Disclosure Statement is being filed after the period set forth in § 1.97(b) above but before the mailing date of either a Final Action under § 1.113 or a Notice of Allowance under § 1.311, or before an action that otherwise closes prosecution in the application, therefore:

☐ Certification in Accordance with § 1.97(e) is attached;

or

☐ The fee of \$180.00 as set forth in § 1.17(p) is attached.

- ☐ In accordance with § 1.97(d), this Information Disclosure Statement is being filed after the mailing date of either a Final Action under § 1.113 or a Notice of Allowance under § 1.311 but before, or simultaneously with, the payment of the Issue Fee, therefore included are: Certification in Accordance with § 1.97(e); and the submission fee of \$180.00 as set forth in § 1.17(p).

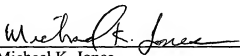
- ☐ Copies of each of the references listed on the attached Form PTO-1449 are enclosed herewith.

- ☒ Copies of references listed on the attached Form PTO-1449 are enclosed herewith EXCEPT THAT:

- ☐ In view of the voluminous nature of references [list as appropriate], and the likelihood that these references are available to the Examiner, copies are not enclosed herewith.
- ☒ In accordance with § 1.98(d), copies of the following references listed on the attached Form PTO-1449 are not enclosed herewith because they were previously cited by or submitted to the U.S. Patent and Trademark Office in patent application(s) for which a claim for priority under 35 U.S.C. § 120 have been made in the instant application:
- ☒ Copies of references **1-19** listed on the attached Form PTO-1449 were previously cited by or submitted to the Patent and Trademark Office in prior Application No. **10/206,731**, filed **July 26, 2002**.

Please charge any deficiency or credit any overpayment to Deposit Account No. 23-3050. This form is submitted in duplicate.

Date: 8/29/03


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Form PTO-1449 Modified

List of Patent and Publications
Cited by Applicant
(Use several sheets if necessary)

U.S. Department of Commerce
Patent and Trademark Office

Docket No.
MAX-0010

Application No.
10/637,208

Applicant
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Filing Date
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Group
Not yet known

Confirmation No.
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U. S. PATENT DOCUMENTS

Examiner Initial		Document No.	Date	Name	Class	Subclass
	1	4,400,948	08/30/83	Moorehead	62	3
	2	4,402,185	09/06/83	Perchak	62	3
	3	5,092,129	03/03/92	Bayes, et al.	62	3.3
	4	5,304,846	04/19/94	Azar, et al.	257	722
	5	5,448,449	09/05/95	Bright, et al.	361	704
	6	5,465,581	11/14/95	Haertl, et al.	62	50.1
	7	5,471,850	12/05/95	Cowans	62	223
	8	5,584,183	12/17/96	Wright, et al.	62	3.7
	9	5,653,111	08/05/97	Attey, et al.	62	3.7
	10	5,715,684	02/10/98	Watanabe, et al.	62	3.2

FOREIGN PATENT DOCUMENTS

Examiner Initial		Document No.	Date	Country	Translation	
					YES	NO
	11	WO 94/23449	10/13/94	PCT		
	12	DE 3937017 A1	05/08/91	Germany		

EXAMINER

DATE CONSIDERED



Form PTO-1449 Modified List of Patent and Publications Cited by Applicant (Use several sheets if necessary) U.S. Department of Commerce Patent and Trademark Office	Docket No. MAX-0010	Application No. 10/637,208
	Applicant Andrew W. Batchelor, et al.	
	Filing Date August 8, 2003	Group Not yet known
	Confirmation No. Not yet known	

U. S. PATENT DOCUMENTS

Examiner Initial		Document No.	Date	Name	Class	Subclass
	13	5,822,993	10/20/98	Attey	62	3.7
	14	5,823,005	10/20/98	Alexander, et al.	62	259.2
	15	6,031,751	02/29/00	Janko	363	144
	16	6,076,357	06/20/00	Holdren, et al.	62	3.2
	17	6,226,178	05/01/01	Broder et al.	361	687
	18	6,279,337	08/28/01	Davidson, et al.	62	259.2
	19	6,446,442 B1	09/10/02	Batchelor, et al.	62	3.3

FOREIGN PATENT DOCUMENTS

Examiner Initial		Document No.	Date	Country	Translation	
					YES	NO

EXAMINER

DATE CONSIDERED